

Coláiste Mhuire Gan Smál
MARY IMMACULATE COLLEGE

Final Record Retention Schedule

Introduction

It is important in order to meet its obligations under the Freedom of Information Act, that the College implements a system for the controlled retention and disposal of records. This system should consist of:

- A retention schedule which lists retention periods and disposal instructions for all corporate records
- Procedures for implementing and auditing the retention schedule
- Making appropriate arrangements for the preservation of records of permanent value
- Procedures for the timely and secure destruction of records no longer required for business purposes and not selected for permanent retention

The purpose of this document is to provide a draft records retention schedule which may be used as the initial basis to develop a records retention policy for the College. The document does not purport to be exhaustive - it is based on the retention periods proposed in the records survey conducted as part of the preparation for the FOI Section 15 publication in the University of Limerick and on the policies/guidelines in operation elsewhere (e.g. Health Boards).

General Administration	
1. Staff/Personnel Records – Personnel Office	
Records	Recommended Retention Period
	If under appeal or if litigation is likely hold in original form indefinitely, otherwise retain records for the minimum periods set out below.
Unsolicited applications for jobs	Hold for six months and then destroy.
Applications for a vacant post Candidates not short-listed. Candidates short-listed but not successful. Short-listing criteria.	Hold for 1 year after C&AG audit and then destroy.
General Job Description file It is recommended that the job description be filed on the personal file of the successful applicant.	Hold until superseded.
Recruitment Competitions Vacancy notification. Advert Copies. Job Description.	Retain indefinitely.
Applications & Curriculum Vitae of candidates who are called for interview. Selection Criteria. Applications & Curriculum Vitae of Candidates not qualified or short-listed. Interview Board Marking Sheet/Report. Interviewers' notes Establishment of Panel Recommendation by Interview Panel	Hold for a minimum of one year after C&AG audit or one and a half years after panel is expired, whichever the later. Retain indefinitely. Destroy once marking sheet has been completed. Hold for one year after C&AG audit and then destroy.
Staff Personnel Files Applications and Curriculum Vitae of candidates who are offered and take up a post, together with the following (where applicable): Advertisement Copy References. Recruitment Medical. Employment Records. Offer/Acceptance of Appointment. Contract of employment/Job specification. Calculations relating to incremental credit and point on scale at appointment. Job share record. Training Record. Resignation/Retirement Letter. Superannuation calculations.	Retain for duration of employment. On retirement or resignation, hold for six years, but retain service record indefinitely. Destroy remainder (see disciplinary records for exceptions). Retain indefinitely Retain for at least four years.

Personnel – Leave Records Annual leave applications. Sick leave record including medical certificates. Career break applications & correspondence. Special leave. Sabbatical Jury service leave. Compassionate leave letters.	The Organisation of Working Time Act 1997: “Annual leave records and other relevant documentation should be retained for at least three years as evidence that the employer is complying with the various provisions of the Act”. Holidays Acts 1973-1991: “An employer must keep records under this act for three years”.
Discipline records and letters	Hold on personal file/disciplinary file for duration of employment and 6 years after retirement/resignation and then destroy. Where disciplinary policy provides for earlier removal from file, then destroy after President’s approval. Where the disciplinary matter involved criminal activity, these records should be retained indefinitely.
Allegations and complaints Anonymous Attributable	Destroy immediately. Hold in sealed envelope in President’s Office, to be opened only in presence of President and the individual in question.
Occupational Health Pre employment medical reports. Health screening reports. Eye tests VDU reports Other occupational health reports.	Hold until staff member leaves/retires, having regard to audit requirements after that date. Safety, Health and Welfare at Work Regulations 1993 “The regulations require employers to maintain records on the results of assessments, measurements of exposure and health surveillance. The records must be made available to the Health & Safety Authority, if requested”.
Superannuation Files	Retain until pensioner and dependent spouse are deceased and dependent children are finished in full time education. Hold for further period of three years after C&AG audit.
Personnel – General Files (i.e. non-personal files)	
Training Files (a) General e.g. Management training, Health & Safety training, Formal Qualifications etc. - Details of training courses - Course criteria - Qualification criteria (b) Application for courses and sponsorship, notifications, qualification attained.	Hold until superseded or for 5 years for reference purposes. Hold on personal file in accordance with criteria for personnel file.
IR and Staff Relations Records Agreement (Pay) (Other) Leave Policy & Legislation Employment Policy & Legislation Training Policy & Legislation Surveys/Reports Correspondence from & to Unions Individual Industrial Relations Issues Minutes of meetings.	Hold until no longer considered relevant.

General Administration	
2. Financial Records	
Records	Recommended Retention Period
	If under investigation or if litigation is likely hold in original form indefinitely otherwise retain records for the minimum periods set out below
Accounts Payable	
Batches of Invoices and Vouchers	Hold in original form for 6 years or until C&AG audit complete whichever is the later.
VAT Records	Hold hard copy for 6 years, unless otherwise authorised by Revenue Commissioner
Tax Clearance Certs	Hold until audit signed off and superseded
Accounts Receivable	
Debtors Ledger	Hold for 6 years
Income Listings	Hold for 6 years
Income Control Accounts	Hold for 6 years
Receipts Reconciliation	Hold for 6 years
Agreements - Rental, Lease, Use, Occupancy	Retain indefinitely
Bank Records	
Paid Cheques	Hold until audit signed off
Bank Reconciliations	Hold until audit signed off
Bank Statements	Hold until audit signed off
Capital Projects	Hold for seven years after completion and destroy
EGF Funding	Hold for a minimum period of 42 months after final report is submitted to Commission. No documents are to be disposed of without the agreement of the Managing Authority.
Financial Statements	
Annual Financial Statements	Retain indefinitely in original form
Final Budgetary reports/estimates for any year	Retain indefinitely in original form
Registers maintained in Finance Department under statute i.e. Reg. of insurances, mortgages assets	Retain indefinitely in original form
Fixed Assets	
Records of Boards Properties, Sale and Purchase	Retain indefinitely in original form
Assets Register	Retain indefinitely in original form
Insurance Files	
Policies	Hold indefinitely
Accident reports	6 years following settlement
Claims correspondence	6 years following settlement
Other Records	
Audit Reports	Permanent
Financial Regulations, Policies and Accounting Standards, Accounting Legislation, Monthly Expenditure and Income Reports	Hold until superseded or audit signed off, whichever is later.
Travel/Expense Claims	6 years
Receipt Books	6 years
Purchase Order Books	6 years
Cash Payments/receipts	6 years
Petty Cash	6 years
Correspondence on financial administration	6 years
Supplier records	6 years
Tender documentation	6 years
Payroll	

Listings, Payslips	6 years
Pay sheets Authorisations to deduct, tax details of staff, appointment details, pay scales	Hold in original form for six years.

General Administration**3. Legal Records**

Records	Recommended Retention Period
Contracts for Services	6 years after expiration of contract
Commercial Contracts	6 years after expiration of contract
Legal cases	Permanent
Legal opinion/correspondence	Permanent
Copyright/trademark registration	Permanent
Data Protection registrations	Permanent

General Administration**4. Committee Records including minutes/reports/supporting documentation**

Records	Recommended Retention Period
<i>An Bord Rialaithe</i>	Permanent
<i>An Fo-Choiste Stiúrtha</i>	Permanent
Other <i>Bord Rialaithe</i> Sub-Committees	Permanent
<i>An Bord Acadúil</i>	Permanent
<i>Bord Acadúil</i> Sub-committees	Permanent
Partnership Forum	Permanent
<i>Tionól na nDán</i>	Permanent
Departmental Meetings	Permanent
Programme Design Teams	Permanent
Student Status Committee	5 years
Exam Board	5 years
Steering Committees	Permanent
Hand written notes taken by recording secretary at meetings	Destroy once minutes of the relevant meeting have been agreed
Numerous other Committee /meeting records operate within the College	Hold until no longer considered relevant.

General Administration**5. Health & Safety Records**

Records	Recommended Retention Period
College Safety Statements	Hold until superseded
Safety Records	10 years
Accident Reports	10 years
Fire inspection records	6 years
Safety training records	Lifetime of employee
Catering inspection records	5 years
Risk Assessment	5 years

General Administration**6. Other**

Records	Recommended Retention Period
General Correspondence, including e-mails	Hold until no longer considered relevant
Statistics	Depends on context in which they were gathered
Library user details	3 years
Record of library book loans	5 years

Academic Administration

1. Student Related Records

Records	Recommended Retention Period
Student Academic Record (Master/Official Student Record)	Permanent
Undergraduate Application Forms	5 years
Undergraduate Selection Records	5 years
Postgraduate Applications Forms	5 years
Student Applications for Transfer	1 year
Records of successful applicants	Permanent
Records of unsuccessful applicants	3 years
Formal records of meetings with students	1 year after graduation
Formal correspondence with students	1 year after graduation
Student lecture attendance	1 year after graduation
Student practical attendance	1 year after graduation
Disciplinary Reports	3 years after graduation
Student References	3 years after graduation
Awards/Scholarships/Prizes	3 years after graduation or indefinitely
Financial Assistance	3 years after graduation
Exchange programmes	5 years
Off-Campus Programme Reports	1 year after graduation
Off-Campus Programme Employer Evaluation Forms	1 year after graduation
Off-Campus Programme Visit Report Forms	1 year after graduation
Off-Campus Programme CVs	1 year after graduation
Teaching Practice lesson guides, timetables,	3 months after teaching practice
Medical Certs	1 year after graduation
Teaching Practice reports	Hold until January 2005
(1) Teaching Practice Records created prior to January 2001.	Hold indefinitely
(2) Teaching Practice Records created as of January 2001.	
Student email, internet & computer usage	3 years
Socrates Programme applications and final reports including student mobility grants.	5 years
Student Accommodation – Licensing Agreements	1 year after cessation of agreement

Academic Administration

2. Examination Related Records

Records	Recommended Retention Period
Exam Scripts	13 months following the final appeal date applying to the Annual Repeats
Exam Papers	5 years
External examiner reports	10 years
Final Year Projects	As per exam scripts
Grade re-checks and teaching practice appeals	As part of permanent student academic record
Assessments, oral (notes & grades), practical, other	As per scripts

Academic Administration**3. Programme & Teaching Records**

Postgraduate Programme Administration	5 years
Programme structure and subject details - undergraduate	Duration of programme or 3 years whichever is longer
Programme structure and subject details - postgraduate	Duration of programme or 3 years whichever is longer
Programme reviews	Until next review is held
Teaching hour allocations	3 years
Part-time staff teaching records	5 years
Department Self Assessment Records	Permanent
Quality Assurance Peer Review	Permanent
Performance Indicators Reports	Permanent
Teaching evaluations	3 years

Academic Administration**4. Research Records**

Records	Recommended Retention Period
Research Records	Duration of project + 3 years
Research Funding Application Records	Duration
Research Project Administration records	Depends on individuals/project
Research data & findings	Indefinitely
Laboratory notebooks	Duration of project + 3 years
Research notes (general)	Indefinitely
Grant Applications	Indefinitely
Publication manuscripts	Indefinitely